

## **SECTION 8 DES-OE TASK MANAGEMENT**

### **8.1 PURPOSE**

This section describes, how to set up project work plans for PS&E Submittal, Ready to List, Advertisement for bids, Bid Opening, Award and Approval, factors that affect schedules, monitoring tools, and roles and responsibilities of staff.

### **8.2 BACKGROUND**

DES-OE staffing and the ability to deliver district projects are dependent on district allocations. Allocations are dependent on the workload and schedules in project workplans. Executing the workplan requires close coordination between district and DES-OE staff.

### **8.3 RESPONSIBILITIES**

#### **8.3.1 DISTRICT DIRECTOR AND DEPUTY DISTRICT DIRECTOR FOR PROGRAM, PROJECT, AND RESOURCE MANAGEMENT**

- Allocates sufficient resources to DES-OE to perform requested services.
- Requests Risk Advertisement services as needed.
- Sets priority for DES-OE assignment of District/Region projects.

#### **8.3.2 PROJECT MANAGER**

- Negotiates work agreements with DES-Project Coordination Engineers (PCE) or DES-OE Task Manager to develop project workplans.
- Negotiates Contract for Delivery (CFD) schedules with DES-OE Task Manager prior to commitment to the Director.
- Uses the current DES-OE Workload and Duration Estimating Table to input DES-OE resources and schedules into XPM.
- Uses procedures contained in this guide to secure project delivery services with DES-OE.
- Monitors project progress and is proactive in resolving District and HQ issues.
- Submits constraint documentation in a timely manner to meet requested schedules.

- Submits funding package and secures authorization, allocation and approval of funds for advertising and awarding contracts in an amount sufficient to cover the capital cost of construction.

### **8.3.3 DES-OE TASK MANAGER**

- Develops DES-OE workload and duration estimating tools.
- Develops workload projections and resource needs.
- Negotiates and validates DES-OE fiscal year resource allocations.
- Monitors and reports on project delivery.
- Monitors and reports on DES-OE activities (start, finish, percent complete, expended hours and hours to complete).
- Negotiates changes to project schedules and resources.
- Negotiates schedules and resources for critical projects.

### **8.3.4 DES-OE SCHEDULING ENGINEER**

- Receives PS&E submittals and verifies completeness.
- Validates completion of advertising requirements.
- Sets advertising and bid opening dates.

## **8.4 ESTABLISHING MILESTONE TARGET DATES**

DES-OE's ability to deliver projects to RTL, Advertisement, and Award is dependent on the districts providing resources and activity durations. Project Managers should use the current DES-OE Workload and Duration Estimating Table (<http://oe.dot.ca.gov/scheduling/xpm/ResourceTable.pdf>) when developing project work plans (schedules and estimated resource hours by activity and cost center). DES-OE Milestones and Activities are described in the WBS activities 260 and 265 in the Work Plan Standards Guide (<http://pd.dot.ca.gov/pm/pmweb/index.asp>). Districts should schedule target RTL dates such that the number of projects and dollars are spread evenly through the quarters of the fiscal year. This will result in more bidder competition and lower bids. DES-OE also recommends that districts not schedule target RTL dates during the Holidays and the last week of each quarter.

Projects must be RTL and funded to be advertised. Funding allocations and approvals should be timed concurrently with RTL target dates.

Project Managers should also consider the following:

- Ideal begin construction date.
- Funding source and availability.

- Ability to meet Legal and Cost Avoidance Construction Contract Standards.

#### **8.4.1 CONTRACT FOR DELIVERY (CFD)**

The CFD is an annual contract signed between the District Director and the Caltrans Director for fiscal year project delivery. Project Managers should validate that their project milestones conform to the DES-OE Workload and Duration Estimating table before the CFD is signed.

#### **8.4.2 "MINOR A" PROJECTS**

Minor A project schedules should be developed to meet an optimum begin construction date. Minor A projects and projects partially funded with Minor "B" funding must be awarded before the end of the fiscal year in which they are programmed.

To ensure that Minor A projects can be processed and awarded by the end of the FY, the PS&E Packages must be submitted to DES-OE according to the following Schedule:

- 50% by November 1<sup>st</sup>
- 70% by December 1<sup>st</sup>
- 90% by January 2<sup>nd</sup>
- 100% of AAOE Projects by February 1<sup>st</sup>
- 100% of AADD projects by February 15<sup>th</sup>

Minor A projects submitted to DES-OE after February 1<sup>st</sup> or February 15<sup>th</sup> for AADD projects are at risk of not being awarded by June 30<sup>th</sup>. Minor A projects submitted to DES-OE after February 1 shall be submitted as AADD projects. Minor A AADD projects submitted after February 15 require an approved risk advertisement request (see 8.5.9). Minor A projects will not be accepted after March 1 for a June 30 award.

#### **8.4.3 MAJOR MAINTENANCE PROJECTS**

Major Maintenance project schedules should be developed to meet an optimum begin construction date. Major Maintenance projects must be awarded before the end of the fiscal year in which they are programmed.

There are two scenarios applicable to Major Maintenance projects:

1. "Fully funded" projects are awarded in the current fiscal year. Major Maintenance projects submitted early than January 1<sup>st</sup> shall be fully funded.

2. "Dollar (\$1) projects" are awarded in the current fiscal year, with construction usually occurring in the following fiscal year after adoption of the State budget. However, construction may begin in the current fiscal year if funds become available and the Department and the Contractor mutually agreed to begin construction work.

Submittals for Major Maintenance projects using \$1 language will not be accepted before January 1 and will not be advertised earlier than the last week of January without an approved risk advertisement request (see 8.5.9).

The district shall indicate the funding method to be used (either fully funded or \$1 project) on the "Budget Verification of Highway Maintenance Funds" form.

To ensure that Maintenance projects can be processed and awarded by the end of the FY, the PS&E Packages must be submitted to DES-OE according to the following Schedule:

- 50% by November 1<sup>st</sup>
- 70% by December 1<sup>st</sup>
- 90% by January 2<sup>nd</sup>
- 100% of AAOE Projects by February 1<sup>st</sup>
- 100% of AADD projects by February 15<sup>th</sup>

Major Maintenance projects submitted to DES-OE after February 1<sup>st</sup> or February 15<sup>th</sup> for AADD projects are at risk of not being awarded by June 30<sup>th</sup>. Major Maintenance projects submitted to DES-OE after February 1<sup>st</sup> shall be submitted as AADD projects. Major Maintenance AADD projects submitted after February 15<sup>th</sup> require an approved risk advertisement request (see 8.5.9).

Major Maintenance Projects advertised before adoption of the State budget for that year will require approval for Risk Advertisement and special contract language.

## **8.5 PROJECT SCHEDULE CONSIDERATIONS**

### **8.5.1 EARLY SUBMITTAL**

Districts are encouraged to submit projects early. If staff becomes available in DES-OE, these projects may be assigned early for processing.

### **8.5.2 MAJOR REVISIONS**

See 11.4.5.

### **8.5.3 LATE SUBMITTAL**

For projects that miss a CFD PS&E target date, DES-OE will not commit to meet the target RTL date. The district must renegotiate the schedule with the DES-OE Scheduling Engineer and update the schedule in XPM and the CFD.

### **8.5.4 NOT IN THE DELIVERY PLAN**

DES-OE will not work on Major projects if they are not listed in the Division of Project Management Delivery Plan. District must obtain approval for DES-OE to proceed with project processing from the Chief, Office of Workload and Data Management, Division of Project Management.

### **8.5.5 PS&E DISTRIBUTION**

Districts are also required to submit PS&E packages to other units outside of DES-OE (see 10.3). These submittals are a critical component of the funding process. Failure to make required submittals will delay funding allocations and advertisement of the project.

### **8.5.6 CONTINUING DISTRICT COMMITMENT TO PROJECT**

The District's delivery responsibilities continue after PS&E submittal. Timely district response to draft contract comments, clearing of outstanding constraints, securing funds sufficient for advertising, timely submittal of addenda or addenda requests and District recommendation for award are necessary to keep the project on schedule.

### **8.5.7 CTC VOTE EXPIRATION**

Projects must be ready to immediately proceed to advertisement and contract award upon receipt of a CTC allocation. The CTC requires that projects not awarded in four months be reported to the CTC and projects not awarded in six months require a time extension. (See *Risk Vote and Risk Advertisement Request Process* Memorandum signed by Rick Land, 10/10/06):

[http://www.dot.ca.gov/hq/transprog/allocation/risk\\_vote\\_memo.pdf](http://www.dot.ca.gov/hq/transprog/allocation/risk_vote_memo.pdf)

### **8.5.8 ASSIGNMENT OF PROJECTS**

There are several periods during the year when the workload in DES-OE exceeds its capacity to meet target milestone completion dates for all projects. When these peak workload periods occur, projects that have not been scheduled through XPM are processed in accordance with statewide priorities. DES-OE will keep its commitment to deliver projects that are adequately resourced and meet their CFD PS&E submittal target dates.

### **8.5.9 RISK ADVERTISEMENT**

Districts may request risk advertisements from the Chief Engineer to advertise projects that are not RTL, have a funding constraint or have a Right of

Way cert 3 or 3W. (See *Risk Vote and Risk Advertisement Request Process* Memorandum signed by Rick Land, 10/10/06):

[http://www.dot.ca.gov/hq/transprog/allocation/risk\\_vote\\_memo.pdf](http://www.dot.ca.gov/hq/transprog/allocation/risk_vote_memo.pdf)

## **8.6 PROJECT MONITORING TOOLS**

### **8.6.1 WEEKLY STATUS REPORTS**

DES-OE produces and posts a Weekly Status Report that provides scheduling information to district and HQ managers for projects being processed by DES-OE. Project status information is shown for all PS&Es currently being processed by DES-OE.

### **8.6.2 DES-OE INTERNET INFORMATION**

The DES-OE Internet site contains information on currently advertised and awarded roadway and structure projects on the California Highway System. This information consists of complete advertised sets of plans, special provisions, addenda, Federal Wages, Standard Plans, Standard Specifications, Asphalt Price Index, Construction Cost Index, Historical Cost Data, Bid Results, Plan Holders Lists, Bid Locations, Bidder Inquiries, and Award status. See Appendix D, "Websites," for a listing of useful sites.

### **8.6.3 DES-OE PROJECTS DATABASE**

The DES-OE projects database, accessible via FileMaker Pro, contains real-time status information for projects currently being processed by DES-OE.

### **8.6.4 DES-OE ORGANIZATION CHART**

(See appendix D)